

**COMMUNITY CARE  
LICENSING DIVISION**

*"Promoting Healthy, Safe and  
Supportive Community Care"*

**TECHNICAL  
SUPPORT  
PROGRAM**

**Self-Assessment Guide**

**FACILITY EVALUATION  
PROCESS**



**COMMUNITY CARE LICENSING DIVISION**  
**TECHNICAL SUPPORT PROGRAM**  
**FACILITY EVALUATION PROCESS**

The Community Care Licensing Division (CCLD) is a regulatory enforcement program with the principal responsibility of protecting the health and safety of children and adults in out of home care. To fulfill this responsibility, Licensing Program Analysts (LPA) conduct a variety of evaluation and investigation visits to facilities. If the LPA determines that a facility is not in compliance with regulations, a citation may be issued for each deficiency.

The purpose of citing facilities for violations of regulations is to ensure the health, safety, and personal rights of the clients in care. When a violation of regulation is observed, the LPA has a responsibility to determine and assess if a citation is to be issued and the length of time in which correction must be made. The basic factors to be considered in making this assessment are the consequences to those in care, the immediacy of the need to correct, the frequency of occurrences and the specific regulatory or statutory requirement. This assessment focuses on the type of clients served and the facility's plan of operation. After making an assessment based on this criteria, the LPA may cite a violation giving an immediate (24 hour) plan of correction (Type A), cite a violation with a longer plan of correction (Type B) or provide consultation without issuing a citation (Type C). The three types of violations of regulations and/or statutes are as follows:

**TYPE A**

DESCRIPTION - Violations that pose a direct and **immediate risk** to the health, safety or personal rights of clients/residents if not corrected.

PLAN OF CORRECTION - Short term plan of correction (within 24 hours) with a \$50 civil penalty per day for failure to correct by plan of correction date.

CITATIONS - Written citation even if corrected during field visit (such corrections will be noted on the licensing report).

EXAMPLE - Insufficient food supply to prepare that day's meals for clients.

**TYPE B**

DESCRIPTION - Violations that **could become a risk** to the health, safety or personal rights of the clients/residents if not corrected. This includes record keeping violations that could impact care of clients/residents or the protection of their resources, or violations that could impact services required to meet client/resident needs.

PLAN OF CORRECTION - Longer plan of correction (up to 30 days) with a \$50 civil penalty per day for failure to correct by plan of correction date.

CITATIONS - Written citation if not corrected during field visit. Written citation may or may not be issued at the LPA's discretion if corrected during the field visit.

EXAMPLE - Failure to maintain a two-day supply of perishables and a seven-day supply of non-perishables, but enough food is present to prepare meals for the day.

## **TYPE C**

**DESCRIPTION** - Violations that **do not present an immediate or potential threat** to the health, safety or personal rights of clients/residents in care and where the licensee has maintained substantial compliance with regulations.

**PLAN OF CORRECTION** - No formal plan of correction is required.

**CITATIONS** - No citations are issued, but a written (Advisory Note LIC 9102) or verbal consultation will be made. Written consultations are placed in the confidential section of the facility file.

**EXAMPLE** - Facility has adequate food supply and appears to be serving nutritious meals, but copies of menus as served are not kept on file for at least 30 days.

## **OTHER FACTORS USED TO DETERMINE THE CITATION TYPE**

Depending upon the circumstances surrounding the violation and the history of the facility, the level of the deficiency may be raised from a type C or B to a type B or A. In the case of the facility that lacked the required food supply used as an example of a type B violation, the LPA may decide to issue a type A citation if the facility had a history of running out of food. Similarly, in the case of the facility that is not following its menu, used as an example of a type C violation, the LPA may decide to issue a type B citation if the facility has a history of not keeping menus as served for at least 30 days or even a type A if there are indications that clients are not receiving nutritionally balanced meals.